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10/643,628

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Wei Li

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42425

7590

10/19/2006

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EXAMINER

SAEED, USMAAN

ART UNIT

PAPER NUMBER

2166

DATE MAILED: 10/19/2006

Please find below and/or attached an Office communication concerning this application or proceeding.

# Office Action Summary

Application No.

10/643,628

Applicant(s)

LI ET AL.

Examiner

Usmaan Saeed

Art Unit

2166

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

## Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

## Status

- 1) ☒ Responsive to communication(s) filed on 10 July 2006.
- 2a) ☒ This action is **FINAL**. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

## Disposition of Claims

- 4) ☒ Claim(s) 1-7,9-20 and 22-26 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-7,9-20 and 22-26 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

## Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 18 August 2003 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

## Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
  - ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

## Attachment(s)

- |  |   |
|--|---|
| 1) <input type="checkbox"/> Notice of References Cited (PTO-892)   | 4) <input type="checkbox"/> Interview Summary (PTO-413)<br>Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)   | 5) <input type="checkbox"/> Notice of Informal Patent Application                       |
| 3) <input checked="" type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08)<br>Paper No(s)/Mail Date <u>7/11/2006</u> . | 6) <input type="checkbox"/> Other: _____  |

## **DETAILED ACTION**

### ***Response to Amendment***

1. Receipt of Applicant's Amendment, filed on 7/10/2006 is acknowledged. Claims 1-3, 9-11, 14-20 and 22-26 have been amended. Claims 8 and 21 have been cancelled.

### ***Specification***

2. The amended specification, which includes summary of the invention was received on 7/10/2006 and is acceptable.

### ***Claim Rejections - 35 USC § 101***

3. In view of the amendments to the claims 14-26 received on 7/10/2006, the 35 U.S.C. 101 rejections to these claims are hereby withdrawn.

### ***Claim Rejections - 35 USC § 102***

4. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

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A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

Claims 1-7, 9-20, and 22-26 are rejected under 35 U.S.C. 102(b) as being anticipated by **Agrawal et al. (Agrawal hereinafter)** (U.S. Patent No. 6,324,533).

With respect to claim 1, **Agrawal teaches a method for performing a frequent itemset operation, the method comprising the steps of:**

**“within a database server, receiving a database statement that specifies frequency criteria and additional criteria and performing said frequent itemset operation as part of execution of the database statement to produce results, wherein the results include frequent itemsets that satisfy both said frequency criteria and said additional criteria, and wherein the results do not include frequent itemsets that satisfy said frequency criteria but do not satisfy said additional criteria”** as the frequent (n+2)-itemsets are determined using cascaded subqueries by: a) selecting distinct first items in the candidate itemsets using a subquery (**Agrawal** Col 3, Lines 2-4). Using the results of the last subqueries to determine which of the (n+2)-itemsets are frequent. In generating rules from the union of the frequent itemsets, all items from the frequent itemsets are first put into a table F. A set of candidate rules is created from the table F using a table function. These candidate rules are joined with the table F, and filtered to remove those that do not meet

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a confidence criteria (**Agrawal** Col 3, Lines 9-16). Examiner interprets frequent (n+2) itemsets as frequency criteria and confidence criteria as additional criteria.

With respect to claim 2, **Agrawal** teaches “**the method of claim 1, wherein the database statement is expressed in a particular database language, and wherein the particular database language is SQL**” as a method for mining data relationships from the integrated mining system in the form of queries to SQL engines enhanced with object-relational extensions (SQL-OR), such as user-defined functions (UDFs) and table functions (**Agrawal** Col 2, Lines 33-36).

With respect to claim 3, **Agrawal** teaches “**the method of claim 1, wherein the frequency criteria and the additional criteria are identified by a construct, and wherein the construct is a table function**” as a method for mining data relationships from the integrated mining system in the form of queries to SQL engines enhanced with object-relational extensions (SQL-OR), such as user-defined functions (UDFs) and table functions (**Agrawal** Col 2, Lines 33-36). Examiner interpreted the table functions as construct.

With respect to claim 4, **Agrawal** teaches the method of claim 1 wherein:

“**the database statement includes a first indication of a first input format**” as the data table is first transformed into a vertical format by creating for each item a BLOB containing all tids that contain that item (Tid-list creation phase) and then count

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the support of itemsets by merging together these tid-lists (support counting phase) (**Agrawal** Col 12, Lines 43-47).

**“the frequent itemset operation operates on input that conforms to said first input format”** as a table function Gather is used for creating the Tid-lists. This is the same as the Gather function in GatherJoin except here, the tid-list is created for each frequent item. The data table T is scanned in the (item, tid) order and passed to the function Gather. The function collects the tids of all tuples of T with the same item in memory and outputs a (item, tid-list) tuple for items that meet the minimum support criterion. The tid-lists are represented as BLOBs and stored in a new TidTable with attributes (item, tid-list) (**Agrawal** Col 12, Lines 48-56).

**“the method further comprises the steps of: parsing a second database statement to detect within the second database statement the construct that extends a database language”** as a method for mining data in an integrated database and data-mining system. Start with step 30, a group-by query is performed on the data transactions to generate a set of frequent 1-itemsets. One-itemsets are those having exactly one item each, while an itemset is frequent if the number of transactions containing it is at least at a specified number. At step 31, frequent 2-itemsets are determined from the frequent 1-itemsets and the transaction table. A candidate set of (n+2)-itemsets is next generated in step 32 from the frequent (n+1)-itemsets, where n=1. At step 33, frequent (n+2)-itemsets are generated from the candidate set of (n+2)-itemsets and the transaction table using a query (**Agrawal** Col 6, Lines 43-55). A first query is being performed to generate 1-itemsets, and (n+2) itemsets are being

generated using another query. **“wherein the second database statement includes a second indication of a second input format that is different from said first input format”** as a horizontal format where each tid is followed by a collection of all its items (Agrawal Col 10, Lines 37-38).

**“in response to detection of said construct in said second database statement, the database server performing a second frequent itemset operation as part of execution of the second database statement”** as the mining operation is expressed in some extension of SQL or a graphical language, which are input to preprocessor 21. This preprocessor generates appropriate SQL translations for the mining operation. For example, these SQL translations may be those that are executed by a SQL-92 relational engine 22. It is assumed that blobs, user-defined functions, and table functions are available in the object-relational engine. The mining results might be output to a depository 24 (Agrawal Col 6, Lines 26-42). **“wherein the second frequent itemset operation operates on input that conforms to said second format”** as K-way Join approach where the k-way self join of T is replaced with the table functions Gather and Comb-K. It is possible to merge these functions together as a single table function GatherComb-K. The Gather function is not required when the data is already in a horizontal format where each tid is followed by a collection of all its items (Agrawal Col 10, Lines 33-38).

With respect to claim 5, Agrawal teaches **“the method of claim 4 wherein the first indication is identification of a first table function”** as a table function Gather is

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used for creating the Tid-lists. This is the same as the Gather function in GatherJoin except here, the tid-list is created for each frequent item. The data table T is scanned in the (item, tid) order and passed to the function Gather. The function collects the tids of all tuples of T with the same item in memory and outputs a (item, tid-list) tuple for items that meet the minimum support criterion (**Agrawal** Col 12, Lines 48-56). **“and the second indication is identification of a second table function”** as the output of Gather is passed to another table function Comb-K which returns all k-item combinations formed out of the items of a transaction (**Agrawal** Col 10, Lines 24-27).

With respect to claim 6, **Agrawal** teaches **“the method of claim 1 wherein the frequent itemset operation uses, as input, a row source that is generated during execution of other operations specified in said database statement”** as output is a collection of rules of varying length. The maximum length of these rules is much smaller than the number of items and is rarely more than a dozen. Therefore, a rule is represented as a tuple in a fixed-width table where the extra column values are set to NULL to accommodate rules involving smaller itemsets. The schema of a rule is (item.sub.1, . . . , item.sub.k, len, rulem, confidence, support) where k is the size of the largest frequent itemset (**Agrawal** Col 5, Lines 65-67 & Col 6, Lines 1-6). A table function, GenRules, is used to generate all possible rules from a frequent itemset. The input to the function is a frequent itemset. For each itemset, it outputs tuples corresponding to rules with all non-empty proper subsets of the itemset in the consequent. The table function outputs tuples with k+3 attributes, T\_item.sub.1, . . . ,



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T\_item.sub.k, T\_support, T\_ten, T\_rulem (**Agrawal** Col 8, Lines 7-13). From first operation a row/tuple is being obtained, which is then being used as an input.

With respect to claim 7, **Agrawal** teaches “**the method of claim 1 wherein the frequent itemset operation produces, as output, a row source that is used as input for other operations specified in said database statement**” as output is a collection of rules of varying length. The maximum length of these rules is much smaller than the number of items and is rarely more than a dozen. Therefore, a rule is represented as a tuple in a fixed-width table where the extra column values are set to NULL to accommodate rules involving smaller itemsets. The schema of a rule is (item.sub.1, . . . , item.sub.k, len, rulem, confidence, support) where k is the size of the largest frequent itemset (**Agrawal** Col 5, Lines 65-67 & Col 6, Lines 1-6). A table function, GenRules, is used to generate all possible rules from a frequent itemset. The input to the function is a frequent itemset. For each itemset, it outputs tuples corresponding to rules with all non-empty proper subsets of the itemset in the consequent. The table function outputs tuples with k+3 attributes, T\_item.sub.1, . . . , T\_item.sub.k, T\_support, T\_ten, T\_rulem (**Agrawal** Col 8, Lines 7-13). From first operation a row/tuple is being obtained as an output, which is then being used as an input.

With respect to claim 9, **Agrawal** teaches “**the method of claim 1 wherein: the additional criteria specify a minimum length; and the step of performing the**

**frequent itemset operation includes performing a frequent itemset operation whose results exclude all item sets that include fewer items than the minimum length specified by the additional criteria”** as combinations of items whose support is greater than minimum support. Call those combinations frequent itemsets (**Agrawal** Col 5, Lines 21-23). The function collects the tids of all tuples of T with the same item in memory and outputs a (item, tid-list) tuple for items that meet the minimum support criterion (**Agrawal** Col 12, Lines 52-55).

**Agrawal** further teaches the function collects the tids of all tuples of T with the same item in memory and outputs a (item, tid-list) tuple for items that meet the minimum support criterion. The tid-lists are represented as BLOBs and stored in a new TidTable with attributes (item, tid-list) (**Agrawal** Col 11, Lines 49-56).

With respect to claim 10, **Agrawal** teaches “**the method of claim 1 wherein: the additional criteria specify a maximum length; and the step of performing the frequent itemset operation includes performing a frequent itemset operation whose results exclude all item sets that include more items than the maximum length specified by the additional criteria”** as F consists of k+2 attributes (item.sub.1, . . . , item.sub.k, support, len), where k is the size of the largest frequent itemset and len is the length of the itemset (**Agrawal** Col 8, Lines 4-6).

**Agrawal** further teaches in particular, it is not practical to assume that all items in a transaction appear as different columns of a single tuple because often the number of items per transaction can be more than the maximum number of columns that the

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database supports. For instance, for one of our real-life datasets the maximum number of items per transaction is 872 and for another it is 700 (**Agrawal** Col 5, Lines 56-60).

With respect to claim 11, **Agrawal** teaches “**the method of claim 1 wherein: the additional criteria specify a set of one or more included items; and the step of performing the frequent itemset operation includes performing a frequent itemset operation whose results exclude all itemsets that do not include all items in said set of one or more included items**” as the frequent  $(n+2)$ -itemsets are determined using cascaded subqueries by: a) selecting distinct first items in the candidate itemsets using a subquery. In generating rules from the union of the frequent itemsets, all items from the frequent itemsets are first put into a table F. These candidate rules are joined with the table F, and filtered to remove those that do not meet a confidence criteria (**Agrawal** Col 3, Lines 2-16).

With respect to claim 12, **Agrawal** teaches “**the method of claim 1 wherein the step of performing the frequent itemset operation includes performing a frequent itemset operation whose results identify frequent itemsets, and for each of the frequent itemsets, a count of how many item groups included the frequent itemset**” as a set of frequent 1-itemsets is generated using a group-by query on data transactions. From these frequent 1-itemsets and the transactions, frequent 2-itemsets are determined. A candidate set of  $(n+2)$ -itemsets are generated from the frequent 2-

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itemsets, where  $n=1$ . Frequent  $(n+2)$ -itemsets are determined from candidate set and the transaction table using a query operation (**Agrawal Abstract**).

With respect to claim 13, **Agrawal** teaches “the method of claim 1 wherein the step of performing the frequent itemset operation includes performing a frequent itemset operation whose results identify frequent itemsets, and for each of the frequent itemsets, a count of how items are in the frequent itemset” as a set of frequent 1-itemsets is generated using a group-by query on data transactions (**Agrawal Abstract**). The support counting phase, conceptually for each itemset in  $C_{sub.k}$  the tid-lists of all  $k$  items are collected and the number of tids in the intersection of these  $k$  lists is counted using a user defined function (UDF) (**Agrawal Col 12, Lines 56-59**).

Group of claims 14-20 and 22-26 is essentially the same as group of claims 1-7, 9-20 except they set forth the claimed invention as a computer readable media carrying instructions, and are rejected for the same reasons as applied hereinabove.

### ***Response to Arguments***

5. Applicant's arguments filed on 10/13/2006 have been fully considered but they are not persuasive.

In these argument applicant relies on the amended claims and not the original ones.

Applicant argues that **Agrawal** does not teach or suggest **“within a database server, receiving a database statement that specifies frequency criteria and additional criteria and performing said frequent itemset operation as part of execution of the database statement to produce results, wherein the results include frequent itemsets that satisfy both said frequency criteria and said additional criteria, and wherein the results do not include frequent itemsets that satisfy said frequency criteria but do not satisfy said additional criteria.”**

In response to the preceding arguments, Examiner respectfully submits that **Agrawal** teaches **“within a database server, receiving a database statement that specifies frequency criteria and additional criteria and performing said frequent itemset operation as part of execution of the database statement to produce results, wherein the results include frequent itemsets that satisfy both said frequency criteria and said additional criteria, and wherein the results do not include frequent itemsets that satisfy said frequency criteria but do not satisfy said additional criteria”** as the frequent  $(n+2)$ -itemsets are determined using cascaded subqueries by: a) selecting distinct first items in the candidate itemsets using a subquery (**Agrawal** Col 3, Lines 2-4). Using the results of the last subqueries to determine which of the  $(n+2)$ -itemsets are frequent. In generating rules from the union of the frequent itemsets, all items from the frequent itemsets are first put into a table F. A set of candidate rules is created from the table F using a table function. These

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candidate rules are joined with the table F, and filtered to remove those that do not meet a confidence criteria (**Agrawal** Col 3, Lines 9-16). Examiner interprets frequent (n+2) itemsets as frequency criteria and confidence criteria as additional criteria.

Further applicant argues that **Agrawal** does not teaches **the method of claim 1 wherein: the additional criteria specify a minimum length; and the step of performing the frequent itemset operation includes performing a frequent itemset operation whose results exclude all item sets that include fewer items than the minimum length specified by the additional criteria,** “the method of claim 1 wherein: the additional criteria specify a maximum length; and the step of performing the frequent itemset operation includes performing a frequent itemset operation whose results exclude all item sets that include more items than the maximum length specified by the additional criteria” and “the method of claim 1 wherein: the additional criteria specify a set of one or more included items; and the step of performing the frequent itemset operation includes performing a frequent itemset operation whose results exclude all itemsets that do not include all items in said set of one or more included items.”

In response to the preceding arguments, Examiner respectfully submits that **Agrawal** teaches “**the method of claim 1 wherein: the additional criteria specify a minimum length; and the step of performing the frequent itemset operation includes performing a frequent itemset operation whose results exclude all item**

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**sets that include fewer items than the minimum length specified by the additional criteria”** as combinations of items whose support is greater than minimum support.

Call those combinations frequent itemsets (**Agrawal** Col 5, Lines 21-23). The function collects the tids of all tuples of T with the same item in memory and outputs a (item, tid-list) tuple for items that meet the minimum support criterion (**Agrawal** Col 12, Lines 52-55).

**Agrawal** further teaches the function collects the tids of all tuples of T with the same item in memory and outputs a (item, tid-list) tuple for items that meet the minimum support criterion. The tid-lists are represented as BLOBs and stored in a new TidTable with attributes (item, tid-list) (**Agrawal** Col 11, Lines 49-56).

**“the additional criteria specify a maximum length; and the step of performing the frequent itemset operation includes performing a frequent itemset operation whose results exclude all item sets that include more items than the maximum length specified by the additional criteria”** as F consists of  $k+2$  attributes (item.sub.1, . . . , item.sub.k, support, len), where k is the size of the largest frequent itemset and len is the length of the itemset (**Agrawal** Col 8, Lines 4-6).

**Agrawal** further teaches in particular, it is not practical to assume that all items in a transaction appear as different columns of a single tuple because often the number of items per transaction can be more than the maximum number of columns that the database supports. For instance, for one of our real-life datasets the maximum number of items per transaction is 872 and for another it is 700 (**Agrawal** Col 5, Lines 56-60).

**“the additional criteria specify a set of one or more included items; and the step of performing the frequent itemset operation includes performing a frequent itemset operation whose results exclude all itemsets that do not include all items in said set of one or more included items”** as the frequent  $(n+2)$ -itemsets are determined using cascaded subqueries by: a) selecting distinct first items in the candidate itemsets using a subquery. In generating rules from the union of the frequent itemsets, all items from the frequent itemsets are first put into a table F. These candidate rules are joined with the table F, and filtered to remove those that do not meet a confidence criteria (**Agrawal** Col 3, Lines 2-16).

### ***Conclusion***

6. **THIS ACTION IS MADE FINAL.** Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of



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the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the mailing date of this final action.

***Contact Information***

7. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Usmaan Saeed whose telephone number is (571)272-4046. The examiner can normally be reached on M-F 8-5.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Hosain Alam can be reached on (571)272-3978. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.


Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

Usmaan Saeed  
Patent Examiner  
Art Unit: 2166

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Leslie Wong   
Primary Examiner

US  
October 13, 2006

  
**HOSAIN ALAM**  
**SUPERVISORY PATENT EXAMINER**